

PART IV – REPRESENTATIONS AND INSTRUCTIONS

SECTION K

REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS

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ATTACHMENT A – DOE ELECTRONIC FACILITY CLEARANCE SYSTEM (E-FOCI)
SUBMISSION SITE USER GUIDE

K.1 FAR 52.204-8 – ANNUAL REPRESENTATIONS AND CERTIFICATIONS (JAN 2025) (DEVIATION) (FEB 2025) (PF 2025-21) (PF 2025-29)

(a) (1) The North American Industry Classification System (NAICS) code for this acquisition is 541715.

(2) The small business size standard is 1,000 employees.

(3) The small business size standard for a concern that submits an offer, other than

(4) on a construction or service acquisition, but proposes to furnish an end item that it did not itself manufacture, process, or produce is 500 employees, or 150 employees for information technology value-added resellers under NAICS code 541519 if the acquisition—

(i) Is set aside for small business and has a value above the simplified acquisition threshold;

(ii) Uses the HUBZone price evaluation preference regardless of dollar value, unless the offeror waives the price evaluation preference; or

(iii) Is an 8(a), HUBZone, service-disabled veteran-owned, economically disadvantaged women-owned, or women-owned small business set-aside or sole-source award regardless of dollar value.

(b) (1) If the provision at [52.204-7](#), System for Award Management, is included in this solicitation, paragraph (d) of this provision applies.

(2) If the provision at [52.204-7](#), System for Award Management, is not included in this solicitation, and the Offeror has an active registration in the System for Award Management (SAM), the Offeror may choose to use paragraph (d) of this provision instead of completing the corresponding individual representations and certifications in the solicitation. The Offeror shall indicate which option applies by checking one of the following boxes:

(i) ☐ Paragraph (d) applies.

(ii) ☐ Paragraph (d) does not apply and the offeror has completed the individual representations and certifications in the solicitation.

(c) (1) The following representations or certifications in SAM are applicable to this solicitation as indicated:

(i) [52.203-2](#), Certificate of Independent Price Determination. This provision applies to solicitations when a firm-fixed-price contract or fixed-price contract with economic price adjustment is contemplated, unless—

(A) The acquisition is to be made under the simplified acquisition procedures in [part 13](#);

(B) The solicitation is a request for technical proposals under two-step sealed bidding procedures; or

(C) The solicitation is for utility services for which rates are set by law or regulation.

(ii) [52.203-11](#), Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions. This provision applies to solicitations expected to exceed \$150,000.

(iii) [52.203-18](#), Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements or Statements-Representation. This provision applies to all solicitations.

(iv) [52.204-3](#), Taxpayer Identification. This provision applies to solicitations that do not include the provision at [52.204-7](#), System for Award Management.

(v) [52.204-5](#), Women-Owned Business (Other Than Small Business). This provision applies to solicitations that-

(A) Are not set aside for small business concerns;

(B) Exceed the simplified acquisition threshold; and

(C) Are for contracts that will be performed in the United States or its outlying areas.

(vi) [52.204-26](#), Covered Telecommunications Equipment or Services-Representation. This provision applies to all solicitations.

(vii) [52.209-2](#), Prohibition on Contracting with Inverted Domestic Corporations-Representation.

(viii) [52.209-5](#), Certification Regarding Responsibility Matters. This provision applies to solicitations where the contract value is expected to exceed the simplified acquisition threshold.

(ix) [52.209-11](#), Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law. This provision applies to all solicitations.

(x) [52.214-14](#), Place of Performance-Sealed Bidding. This provision applies to invitations for bids except those in which the place of performance is specified by the Government.

(xi) [52.215-6](#), Place of Performance. This provision applies to solicitations unless the place of performance is specified by the Government.

(xii) [52.219-1](#), Small Business Program Representations (Basic, Alternates I, and II). This provision applies to solicitations when the contract is for supplies to be delivered or services to be performed in the United States or its outlying areas, or when the contracting officer has applied [part 19](#) in accordance with [19.000](#)(b)(1)(ii).

(A) The basic provision applies when the solicitations are issued by other than DoD, NASA, and the Coast Guard.

(B) The provision with its Alternate I applies to solicitations issued by DoD, NASA, or the Coast Guard.

(C) The provision with its Alternate II applies to solicitations that will result in a multiple-award contract with more than one NAICS code assigned.

(xiii) [52.219-2](#), Equal Low Bids. This provision applies to solicitations when contracting by sealed bidding and the contract is for supplies to be delivered or services to be performed in the United States or its outlying areas, or when the contracting officer has applied [part 19](#) in accordance with [19.000](#)(b)(1)(ii).

(xiv) [Reserved]

(xv) [Reserved]

(xvi) [52.222-38](#), Compliance with Veterans' Employment Reporting Requirements. This provision applies to solicitations when it is anticipated the contract award will exceed the simplified acquisition threshold and the contract is not for acquisition of commercial products or commercial services.

(xvii) [52.223-1](#), Biobased Product Certification. This provision applies to solicitations that require the delivery or specify the use of biobased products in USDA-designated product categories; or

include the clause at [52.223-2](#), Reporting of Biobased Products Under Service and Construction Contracts.

(xviii) [52.223-4](#), Recovered Material Certification. This provision applies to solicitations that are for, or specify the use of, EPA–designated items.

(xix) [\[Reserved\]](#)

(xx) [52.225-2](#), Buy American Certificate. This provision applies to solicitations containing the clause at [52.225-1](#).

(xxi) [52.225-4](#), Buy American-Free Trade Agreements-Israeli Trade Act Certificate. (Basic, Alternates II and III.) This provision applies to solicitations containing the clause at [52.225-3](#).

(A) If the acquisition value is less than \$50,000, the basic provision applies.

(B) If the acquisition value is \$50,000 or more but is less than \$100,000, the provision with its Alternate II applies.

(C) If the acquisition value is \$100,000 or more but is less than \$102,280, the provision with its Alternate III applies.

(xxii) [52.225-6](#), Trade Agreements Certificate. This provision applies to solicitations containing the clause at [52.225-5](#).

(xxiii) [52.225-20](#), Prohibition on Conducting Restricted Business Operations in Sudan-Certification. This provision applies to all solicitations.

(xxiv) [52.225-25](#), Prohibition on Contracting with Entities Engaging in Certain Activities or Transactions Relating to Iran-Representation and Certifications. This provision applies to all solicitations.

(xxv) [52.226-2](#), Historically Black College or University and Minority Institution Representation. This provision applies to solicitations for research, studies, supplies, or services of the type normally acquired from higher educational institutions.

(2) The following representations or certifications are applicable as indicated by the Contracting Officer:

[Contracting Officer check as appropriate.]

☒ (i) [52.204-17](#), Ownership or Control of Offeror.

☒ (ii) [52.204-20](#), Predecessor of Offeror.

☐ (iii) [52.222-18](#), Certification Regarding Knowledge of Child Labor for Listed End Products.

☐ (iv) [52.222-48](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Maintenance, Calibration, or Repair of Certain Equipment-Certification.

☐ (v) [52.222-52](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Certain Services-Certification.

☐ (vi) [52.227-6](#), Royalty Information.

☐ (A) Basic.

☐ (B) Alternate I.

☐ (vii) [52.227-15](#), Representation of Limited Rights Data and Restricted Computer Software.

(d) The offeror has completed the annual representations and certifications electronically in SAM website accessed through <https://www.sam.gov>. After reviewing the SAM information, the offeror verifies by submission of the offer that the representations and certifications currently posted electronically that apply to this solicitation as indicated in paragraph (c) of this provision have been entered or updated within the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard applicable to the NAICS code referenced for this solicitation), as of the date of this offer and are incorporated in this offer by reference (see FAR [4.1201](#)); except for the changes identified below [offeror to insert changes, identifying change by clause number, title, date]. These amended representation(s) and/or certification(s) are also incorporated in this offer and are current, accurate, and complete as of the date of this offer.

FAR Clause # Title Date Change
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Any changes provided by the offeror are applicable to this solicitation only, and do not result in an update to the representations and certifications posted on SAM.

**K.2 FAR 52.204-24 – REPRESENTATION REGARDING CERTAIN
TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR
EQUIPMENT (NOV 2021)**

The Offeror shall not complete the representation at paragraph (d)(1) of this provision if the Offeror has represented that it "does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument" in paragraph (c)(1) in the provision at [52.204-26](#), Covered Telecommunications Equipment or Services—Representation, or in paragraph (v)(2)(i) of the provision at [52.212-3](#), Offeror Representations and Certifications-Commercial Products or Commercial Services. The Offeror shall not complete the representation in paragraph (d)(2) of this provision if the Offeror has represented that it "does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services" in paragraph (c)(2) of the provision at [52.204-26](#), or in paragraph (v)(2)(ii) of the provision at [52.212-3](#).

(a) *Definitions.* As used in this provision—

Backhaul, covered telecommunications equipment or services, critical technology, interconnection arrangements, reasonable inquiry, roaming, and substantial or essential component have the meanings provided in the clause [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) *Prohibition.*

(1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract or extending or renewing a contract with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(c) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".

(d) *Representation.* The Offeror represents that—

(1) It ☐ will, ☐ will not provide covered telecommunications equipment or services to the Government in the performance of any contract, subcontract or other contractual instrument resulting from this solicitation. The Offeror shall provide the additional disclosure information required at paragraph (e)(1) of this section if the Offeror responds "will" in paragraph (d)(1) of this section; and

(2) After conducting a reasonable inquiry, for purposes of this representation, the Offeror represents that—

It ☐ does, ☐ does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services. The Offeror shall provide the additional disclosure information required at paragraph (e)(2) of this section if the Offeror responds "does" in paragraph (d)(2) of this section.

(e) *Disclosures.*

(1) Disclosure for the representation in paragraph (d)(1) of this provision. If the Offeror has responded "will" in the representation in paragraph (d)(1) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the Product Service Code (PSC) of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(2) Disclosure for the representation in paragraph (d)(2) of this provision. If the Offeror has responded "does" in the representation in paragraph (d)(2) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the PSC of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.

K.3 FAR 52.209-7 – INFORMATION REGARDING RESPONSIBILITY MATTERS (OCT 2018)

(a) *Definitions.* As used in this provision—

Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative Proceedings, Civilian Board of Contract Appeals Proceedings, and Armed Services Board of Contract Appeals Proceedings). This includes administrative proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include agency actions such as contract audits, site visits, corrective plans, or inspection of deliverables.

Federal contracts and grants with total value greater than \$10,000,000 means—

(1) The total value of all current, active contracts and grants, including all priced options; and

(2) The total value of all current, active orders including all priced options under indefinite-delivery, indefinite-quantity, 8(a), or requirements contracts (including task and delivery and multiple-award Schedules).

Principal means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division or business segment; and similar positions).

(b) The offeror ☐ has ☐ does not have current active Federal contracts and grants with total value greater than \$10,000,000.

(c) If the offeror checked "has" in paragraph (b) of this provision, the offeror represents, by submission of this offer, that the information it has entered in the Federal Awardee Performance and Integrity Information System (FAPIS) is current, accurate, and complete as of the date of submission of this offer with regard to the following information:

(1) Whether the offeror, and/or any of its principals, has or has not, within the last five years, in connection with the award to or performance by the offeror of a Federal contract or grant, been the subject of a proceeding, at the Federal or State level that resulted in any of the following dispositions:

(i) In a criminal proceeding, a conviction.

(ii) In a civil proceeding, a finding of fault and liability that results in the payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more.

(iii) In an administrative proceeding, a finding of fault and liability that results in—

(A) The payment of a monetary fine or penalty of \$5,000 or more; or

(B) The payment of a reimbursement, restitution, or damages in excess of \$100,000.

(iv) In a criminal, civil, or administrative proceeding, a disposition of the matter by consent or compromise with an acknowledgment of fault by the Contractor if the proceeding could have led to any of the outcomes specified in paragraphs (c)(1)(i), (c)(1)(ii), or (c)(1)(iii) of this provision.

(2) If the offeror has been involved in the last five years in any of the occurrences listed in (c)(1) of this provision, whether the offeror has provided the requested information with regard to each occurrence.

(d) The offeror shall post the information in paragraphs (c)(1)(i) through (c)(1)(iv) of this provision in FAPIS as required through maintaining an active registration in the System for Award Management, which can be accessed via <https://www.sam.gov> (see [52.204-7](#)).

K.4 FAR 52.209-13 – VIOLATION OF ARMS CONTROL TREATIES OR AGREEMENTS-CERTIFICATION (NOV 2021)

(a) This provision does not apply to acquisitions at or below the simplified acquisition threshold or to acquisitions of commercial products and commercial services as defined in Federal Acquisition Regulation [2.101](#).

(b) *Certification.* [Offeror shall check either (1) or (2).]

___ (1) The Offeror certifies that—

(i) It does not engage and has not engaged in any activity that contributed to or was a significant factor in the President's or Secretary of State's determination that a foreign country is in violation of its obligations undertaken in any arms control, nonproliferation, or disarmament agreement to which the United States is a party, or is not adhering to its arms control, nonproliferation, or disarmament commitments in which the United States is a participating state. The determinations are described in the most recent unclassified annual report provided to Congress pursuant to section 403 of the Arms Control and Disarmament Act ([22 U.S.C. 2593a](#)). The report is available at <https://www.state.gov/bureaus-offices/under-secretary-for-arms-control-and-international-security-affairs/bureau-of-arms-control-verification-and-compliance/>; and

(ii) No entity owned or controlled by the Offeror has engaged in any activity that contributed to or was a significant factor in the President's or Secretary of State's determination that a foreign country is in violation of its obligations undertaken in any arms control, nonproliferation, or disarmament agreement to which the United States is a party, or is not adhering to its arms control, nonproliferation, or disarmament commitments in which the United States is a participating state. The determinations are described in the most recent unclassified annual report provided to Congress pursuant to section 403 of the Arms Control and Disarmament Act ([22 U.S.C. 2593a](#)). The report is available at <https://www.state.gov/bureaus-offices/under-secretary-for-arms-control-and-international-security-affairs/bureau-of-arms-control-verification-and-compliance/>; or

___ (2) The Offeror is providing separate information with its offer in accordance with paragraph (d)(2) of this provision.

(c) Procedures for reviewing the annual unclassified report (see paragraph (b)(1) of this provision). For clarity, references to the report in this section refer to the entirety of the annual unclassified report, including any separate reports that are incorporated by reference into the annual unclassified report.

(1) Check the table of contents of the annual unclassified report and the country section headings of the reports incorporated by reference to identify the foreign countries listed there. Determine whether the Offeror or any person owned or controlled by the Offeror may have engaged in any activity related to one or more of such foreign countries.

(2) If there may have been such activity, review all findings in the report associated with those foreign countries to determine whether or not each such foreign country was determined to be in violation of its obligations undertaken in an arms control, nonproliferation, or disarmament agreement to which the United States is a party, or to be not adhering to its arms control, nonproliferation, or disarmament commitments in which the United States is a participating state. For clarity, in the annual report an explicit certification of non-compliance is equivalent to a determination of violation. However, the following statements in the annual report are not equivalent to a determination of violation:

- (i) An inability to certify compliance.
- (ii) An inability to conclude compliance.
- (iii) A statement about compliance concerns.

(3) If so, determine whether the Offeror or any person owned or controlled by the Offeror has engaged in any activity that contributed to or is a significant factor in the determination in the report that one or more of these foreign countries is in violation of its obligations undertaken in an arms control, nonproliferation, or disarmament agreement to which the United States is a party, or is not adhering to its arms control, nonproliferation, or disarmament commitments in which the United States is a participating state. Review the narrative for any such findings reflecting a determination of violation or non-adherence related to those foreign countries in the report, including the finding itself, and to the extent necessary, the conduct giving rise to the compliance or adherence concerns, the analysis of compliance or adherence concerns, and efforts to resolve compliance or adherence concerns.

(4) The Offeror may submit any questions with regard to this report by email to NDAA1290Cert@state.gov. To the extent feasible, the Department of State will respond to such email inquiries within 3 business days.

(d) Do not submit an offer unless—

(1) A certification is provided in paragraph (b)(1) of this provision and submitted with the offer; or

(2) In accordance with paragraph (b)(2) of this provision, the Offeror provides with its offer information that the President of the United States has

- (i) Waived application under [22 U.S.C. 2593e](#)(d) or (e); or
- (ii) Determined under [22 U.S.C. 2593e](#)(g)(2) that the entity has ceased all activities for which measures were imposed under [22 U.S.C. 2593e](#)(b).

(e) *Remedies*. The certification in paragraph (b)(1) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly submitted a false certification, in addition to other remedies available to the Government, such as suspension or debarment, the Contracting Officer may terminate any contract resulting from the false certification.

K.5 FAR 52.230-1 – COST ACCOUNTING STANDARDS NOTICES AND CERTIFICATION (JUN 2020)

Note: This notice does not apply to small businesses or foreign governments. This notice is in three parts, identified by Roman numerals I through III.

Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

I. DISCLOSURE STATEMENT-COST ACCOUNTING PRACTICES AND CERTIFICATION

(a) Any contract in excess of the lower CAS threshold specified in Federal Acquisition Regulation (FAR) 30.201-4(b) resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1.

(b) Any offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the offeror's proposal under this solicitation unless the offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

Caution: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

(c) Check the appropriate box below:

(1) ☐ *Certificate of Concurrent Submission of Disclosure Statement.*

The offeror hereby certifies that, as a part of the offer, copies of the Disclosure Statement have been submitted as follows:

(i) Original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal agency official authorized to act in that capacity (Federal official), as applicable; and

(ii) One copy to the cognizant Federal auditor.

(Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal official.)

Date of Disclosure Statement: _____ Name and
Address of Cognizant ACO or Federal Official Where Filed:

The offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

(2) ☐ *Certificate of Previously Submitted Disclosure Statement.* The offeror hereby certifies that the required Disclosure Statement was filed as follows:

Date of Disclosure Statement: _____ Name and Address of
Cognizant ACO or Federal Official Where Filed:

The offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

(3) ☐ *Certificate of Monetary Exemption.* The offeror hereby certifies that the offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The offeror further certifies that if such status changes before an award resulting from this proposal, the offeror will advise the Contracting Officer immediately.

(4) ☐ *Certificate of Interim Exemption.* The offeror hereby certifies that (i) the offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the offeror is not yet required to submit a Disclosure Statement. The offeror further certifies that if an

award resulting from this proposal has not been made within 90 days after the end of that period, the offeror will immediately submit a revised certificate to the Contracting Officer, in the form specified under paragraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

Caution: Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

II. Cost Accounting Standards-Eligibility for Modified Contract Coverage

If the offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

☐ The offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that the offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The offeror further certifies that if such status changes before an award resulting from this proposal, the offeror will advise the Contracting Officer immediately.

Caution: An offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or if, during its current cost accounting period, the offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

III. Additional Cost Accounting Standards Applicable to Existing Contracts

The offeror shall indicate below whether award of the contemplated contract would, in accordance with paragraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

<input type="checkbox"/> Yes	<input type="checkbox"/> No
------------------------------	-----------------------------

K.6 FAR 52.230-7 – PROPOSAL DISCLOSURE—COST ACCOUNTING PRACTICE CHANGES (APR 2005)

The offeror shall check “yes” below if the contract award will result in a required or unilateral change in cost accounting practice, including unilateral changes requested to be desirable changes.

☐ Yes ☐ No

If the offeror checked “Yes” above, the offeror shall—

- (1) Prepare the price proposal in response to the solicitation using the changed practice for the period of performance for which the practice will be used; and
- (2) Submit a description of the changed cost accounting practice to the Contracting Officer and the Cognizant Federal Agency Official as pricing support for the proposal.

K.7 DEAR 952.204-73 – FACILITY CLEARANCE (DEC 2024)

Notices to Offerors and the Contract Requirements of the Successful Offeror (Contractor) Section 2536 of title 10, United States Code, prohibits the award of a contract under a national security program to an entity controlled by a foreign government if it is necessary for that entity to be given access to information in a proscribed category of information in order to perform the contract unless a waiver is granted by the Secretary of Energy. In addition, a Facility Clearance and foreign ownership, control and influence information are required when the contract or subcontract to be awarded is expected to require employees to have access authorizations.

An offeror who has either a Department of Defense or a Department of Energy Facility Clearance generally need not resubmit the following foreign ownership control and influence information unless specifically requested to do so. Instead, provide your DOE Facility Clearance code or your DOD assigned commercial and government entity (CAGE) code. If uncertain, consult the office that issued this solicitation.

(a) Use of Certificate Pertaining to Foreign Interests, Standard Form 328.

(1) The contract work to be performed by the successful offeror anticipated by this solicitation will require access to classified information or special nuclear material. Such access will require a Facility Clearance for the Contractor's (that is, the successful offeror's) organization and access authorizations (security clearances) for Contractor personnel working with the classified information or special nuclear material. To obtain a Facility Clearance the Contractor must submit the Standard Form 328, Certificate Pertaining to Foreign Interests, and all required supporting documents to form a complete Foreign Ownership, Control or Influence (FOCI) Package. The

Contractor must submit the FOCI Package in the format directed by DOE. After the FOCI Package is completed, the Contractor must print and sign one copy of the SF 328 and submit it to the Contracting Officer.

(2) Information submitted by the offeror in the Standard Form 328 will be used solely for the purposes of evaluating foreign ownership, control or influence and will be treated by DOE, to the extent permitted by law, as business or financial information submitted in confidence.

(3) Following submission of a Standard Form 328 and prior to contract award, the successful offeror/Contractor shall immediately submit to the Contracting Officer written notification of any changes in the extent and nature of FOCI information it submitted that could affect its answers to the questions in Standard Form 328. Following award of a contract, the Contractor must immediately submit to the cognizant security office written notification of any changes in the extent and nature of FOCI which could affect the offeror's answers to the questions in Standard Form 328. Notice of changes in FOCI information that are required to be reported to the Securities and Exchange Commission, the Federal Trade Commission, or the Department of Justice must also be reported concurrently to the cognizant security office.

(b) *Definitions.*

(1) *Foreign Interest* means any of the following -

(i) A foreign government, foreign government agency, or representative of a foreign government;

(ii) Any form of business enterprise or legal entity organized, chartered or incorporated under the laws of any country other than the United States or its possessions and trust territories; and

(iii) Any person who is not a citizen or national of the United States.

(2) *Foreign Ownership, Control, or Influence (FOCI)* means the situation where the degree of ownership, control, or influence over a Contractor by a foreign interest is such that a reasonable basis exists for concluding that compromise of classified information or special nuclear material may result.

(c) *Facility Clearance* means an administrative determination that a facility is eligible to access, produce, use or store classified information, or special nuclear material. A Facility Clearance is based upon a determination that satisfactory safeguards and security measures are carried out for the activities being performed at the facility. It is DOE policy that all Contractors or Subcontractors requiring access authorizations be

processed for a Facility Clearance at the level appropriate to the activities being performed under the contract. Approval for a Facility Clearance shall be based upon -

(1) A favorable foreign ownership, control, or influence (FOCI) determination based upon the Contractor's response to the ten questions in Standard Form 328 and any required, supporting data provided by the Contractor;

(2) A contract or proposed contract containing the appropriate security clauses;

(3) Approved safeguards and security plans which describe protective measures appropriate to the activities being performed at the facility;

(4) An established Reporting Identification Symbol code for the Nuclear Materials Management and Safeguards Reporting System if access to nuclear materials is involved;

(5) A survey conducted no more than 6 months before the Facility Clearance date, with a composite facility rating of satisfactory, if the facility is to possess classified matter or special nuclear material at its location;

(6) Appointment of a Facility Security Officer, who must possess or be in the process of obtaining an access authorization equivalent to the Facility Clearance; and, if applicable, appointment of a Materials Control and Accountability Representative; and

(7) Access authorizations for key management personnel who will be determined on a case-by-case basis, and who possess or are in the process of obtaining access authorizations equivalent to the level of the Facility Clearance.

(d) Facility Clearance and Employees Requiring Access Authorizations Prior to DOE's Granting Facility Clearance.

(1) A Facility Clearance is required for this contract, although not necessarily prior to contract award. A favorable FOCI determination for this contract is required prior to contract award. It must be rendered by the responsible cognizant security office. The Contracting Officer may require the offeror to submit additional information as deemed pertinent to this determination.

(i) The DOE must determine that awarding this contract to the offeror will not pose an undue risk to the common defense and security as a result of its access to classified information or special nuclear material in the performance of the contract. The Contracting Officer may require the offeror to submit such additional information as deemed pertinent to this determination.

(ii) Before contract award, after obtaining a favorable FOCI determination, the successful offeror/Contractor may be eligible to obtain a Facility

Clearance.

- (iii) If the successful offeror/Contractor does not obtain a Facility Clearance before contract award, after contract award the Contractor shall submit the necessary information to obtain a Facility Clearance and to obtain personnel Interim Access Authorizations in accordance with Departmental policies and procedures.
- (2) The DOE may grant certain of the Contractor's Key Management Personnel and the Contractor's Facility Security Officer Interim Access Authorization. If granted Interim Access Authorization, the Contractor's Key Management Personnel and the Contractor's Facility Security Officer will have access to classified information or special nuclear material.
- (e) A Facility Clearance is required even for contracts that do not require the Contractor's corporate offices to receive, process, reproduce, store, transmit, or handle classified information or special nuclear material, but that require DOE access authorizations for the Contractor's employees to perform work at a DOE location. This type of facility is identified as a non-possessing facility.
- (f) Except as otherwise authorized in writing by the Contracting Officer, the Contractor shall insert provisions similar to the foregoing in all subcontracts and purchase orders (or vendors for purchase orders) requiring access authorizations for access to classified information or special nuclear material. Subcontractors shall be directed to provide responses to the questions in Standard Form 328, Certificate Pertaining to Foreign Interests, directly to the prime Contractor or the Contracting Officer for the prime contract.

Notice to Offerors - Contents Review (Please Review Before Submitting)

Prior to submitting the Standard Form 328, required by paragraph (a)(1) of this clause, the offeror should review the FOCI submission to ensure that:

- (1) The Standard Form 328 has been signed and dated by an authorized official of the offeror;
- (2) If publicly owned, the Contractor's most recent annual report, and its most recent proxy statement for its annual meeting of stockholders; or, if privately owned, the audited, consolidated financial information for the most recently closed accounting year has been attached;
- (3) A copy of the company's articles of incorporation and an attested copy of the company's by-laws, or similar documents filed for the company's existence and management, and all amendments to those documents are provided;
- (4) A list identifying the organization's owners, officers, directors, and executive

personnel, including their names, social security numbers, citizenship, titles of all positions they hold within the organization, and what clearances, if any, they possess or are in the process of obtaining, and identification of the government agency(ies) that granted or will be granting those clearances; and

(5) A summary FOCI data sheet is provided.

Note:

A FOCI submission must be attached for each tier parent organization (i.e., ultimate parent and any intervening levels of ownership). If any of these documents are missing, award of the contract cannot be completed.

**K.8 DEAR 952.209-8 – ORGANIZATIONAL CONFLICTS OF INTEREST
DISCLOSURE-ADVISORY AND ASSISTANCE SERVICES (JUN 1997)
(DEVIATION)**

- (a) Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the Government, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.
- (b) All offerors shall provide the statement described in paragraph (c) of this provision.
(DEVIATION)
- (c) The statement must contain the following:
 - (1) A statement of any past (within the past twelve months), present, or currently planned financial, contractual, organizational, or other interests relating to the performance of the statement of work. For contractual interests, such statement must include the name, address, telephone number of the client or client(s), a description of the services rendered to the previous client(s), and the name of a responsible officer or employee of the offeror who is knowledgeable about the services rendered to each client, if, in the 12 months preceding the date of the statement, services were rendered to the Government or any other client (including a foreign government or person) respecting the same subject matter of the instant solicitation, or directly relating to such subject matter. The agency and contract number under which the services were rendered must also be included, if applicable. For financial interests, the statement must include the nature and extent of the interest and any entity or entities involved in the financial relationship. For these and any other interests enough such information must be provided to allow a meaningful evaluation of the potential effect of the interest on the performance of the statement of work.

- (2) A statement that no actual or potential conflict of interest or unfair competitive advantage exists with respect to the advisory and assistance services to be provided in connection with the instant contract or that any actual or potential conflict of interest or unfair competitive advantage that does or may exist with respect to the contract in question has been communicated as part of the statement required by (b) of this provision.
- (d) Failure of the offeror to provide the required statement may result in the offeror being determined ineligible for award. Misrepresentation or failure to report any fact may result in the assessment of penalties associated with false statements or such other provisions provided for by law or regulation.

K.9 DEAR 970.5226-4 – AGREEMENT REGARDING WORKPLACE SUBSTANCE ABUSE PROGRAMS AT DOE SITES (DEC 2010)

- (a) Any contract awarded as a result of this solicitation will be subject to the policies, criteria, and procedures of [10 CFR part 707](#), Workplace Substance Abuse Programs at DOE Sites.
- (b) By submission of its offer, the offeror agrees to provide to the Contracting Officer, within 30 days after notification of selection for award, or award of a contract, whichever occurs first, pursuant to this solicitation, its written workplace substance abuse program consistent with the requirements of [10 CFR part 707](#). DOE may grant an extension to the notification or implementation period if necessary as per [10 CFR 707.5\(g\)](#).
- (c) Failure of the offeror to agree to the condition of responsibility set forth in paragraph (b) of this provision, renders the offeror unqualified and ineligible for award.

K.10 DEAR 970.5227-7 – ROYALTY INFORMATION (DEC 2000)

- (a) Cost or charges for royalties. If the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be included in the response relating to each separate item of royalty or license fee:
 - (1) Name and address of licensor;
 - (2) Date of license agreement;
 - (3) Patent numbers, patent application serial numbers, or other basis on which the royalty is payable;
 - (4) Brief description, including any part or model numbers of each contract item or component on which the royalty is payable;

- (5) Percentage or dollar rate of royalty per unit;
 - (6) Unit price of contract item;
 - (7) Number of units; and
 - (8) Total dollar amount of royalties.
- (b) Copies of current licenses. In addition, if specifically requested by the Contracting Officer before execution of the contract, the offeror shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents or other basis upon which the royalty may be payable.

K.11 DEAR 970.5227-9 – NOTICE OF RIGHT TO REQUEST PATENT WAIVER (DEC 2000)

Offerors have the right to request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of the contract, in advance of or within 30 days after the effective date of the contract. If such advance waiver is not requested or the request is denied, the Contractor has a continuing right under the contract to request a waiver of the rights of the Government in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the contract. Contractors that are domestic small businesses and domestic nonprofit organizations may not need a waiver and will have included in their contracts a patent clause reflecting their right to elect title to subject inventions pursuant to the Bayh-Dole Act (35 U.S.C. 200 et seq.).

K.12 CERTIFICATE PERTAINING TO FOREIGN INTERESTS

With regard to the Section K Provision entitled “DEAR 952.204-73 – Facility Clearance,” offerors are required to complete their FOCI submission as outlined in Attachment A of this section entitled “DOE Electronic Facility Clearance System (e-FOCI) Submission Site User Guide”.

If the Offeror is a joint venture, limited liability entity, limited liability partnership, or other similar entity (multi-member, shared ownership), a FOCI package must also be submitted by each member. A separate FOCI package must also be submitted for each tier parent organization located in the U.S., Puerto Rico, or a U.S. possession or territory. DOE will determine whether the parent will be cleared or excluded from access to classified information.

To start the FOCI process, each Offeror must request access to the DOE e-FOCI System by logging into <https://foci.anl.gov>. Ensure you choose the following field office to review your

submission: Oak Ridge Office Procurement.

If the offeror has an approved facility clearance, the offeror should identify (1) its DOE Facility Code (or DOE CAGE Code, if applicable), (2) the date the offeror's completed Standard Form 328 was submitted, and (3) the date of the Contracting Officer's affirmative FOCI determination.

Please note that DOE does not accept electronic signatures on the SF328, Certificate Pertaining to Foreign Interests; therefore, a signed original form must be executed in accordance with the instructions and submitted to the Office of Science Safety & Security (SC-OSS).

Offerors must submit a completed and signed SF-328, along with all applicable FOCI disclosure forms, executed in accordance with the form's instructions with the offeror's offer/proposal to DOE. Forms completed on the website can be saved and printed for inclusion in the offeror's offer/proposal.

K.13 SIGNATURE/CERTIFICATION

By signing below, the offeror certifies, under penalty of law, that the representations and certifications herein are accurate, current, and complete. The offeror further certifies that it will notify the Contracting Officer of any changes to these representations and certifications. The representations and certification made by the offeror, as contained herein, concern matters within the jurisdiction of an agency of the United States and the making of a false, fictitious, or fraudulent representation or certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

_____ Signature of the Officer or Employee Responsible for the Offer	_____ Date of Execution
_____ Typed Name and Title of the Officer or Employee Responsible for the Offer	
_____ Name of Organization	
_____ Address	
_____ City, State, ZIP	

ATTACHMENT A-DOE Electronic Facility Clearance System (e-FOCI) Submission Site User Guide

**U. S. Department of Energy
Office of Environment, Health, Safety and Security (AU-50)**

DOE Electronic Facility Clearance System (e-FOCI) Submission Site User Guide

April 2025



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DOE e-FOCI Submission Site User Guide

Notice: It is e-FOCI policy to disable accounts of high-risk individuals immediately upon discovery of the user's intention to use authorized access to e-FOCI to cause harm or through whom adversaries will cause harm.

1 Introduction

Welcome to the e-FOCI Submission Site for contractors. You will use this electronic system to complete all required forms and attachments for submission to the Department of Energy (DOE) or the National Nuclear Security Administration (NNSA) for the Foreign Ownership, Control or Influence (FOCI) portion of your facility clearance application. These FOCI submissions are referred to as **packages** throughout this User Guide.

The e-FOCI Submission Site is accessed via the Internet at <https://foci.anl.gov>. It was developed for offerors, bidders, and contractors to submit facility clearance applications to DOE in an electronic format. The e-FOCI package is electronically reviewed and processed by DOE, NNSA, and Naval Reactors industrial security personnel using the e-FOCI Processing Site. This User Guide is designed for users of the DOE e-FOCI Submission Site.



2 Authentication Providers

As of October 2024, the e-FOCI Submission Site transitioned to a single sign-on (SSO) authentication service through OneID. To access e-FOCI using this new configuration, offerors/bidders/contractors will need to create an account with either [Login.gov](#), [ID.me](#), or authenticate with an existing DOE PIV card. Instructions for doing so are listed below.

Disclaimer: It should be noted that e-FOCI has no explicit or implied preference for either Login.gov or ID.me; e-FOCI will recognize valid credentials from either provider.

2.1 Why are we making this transition?

e-FOCI's existing authentication mechanism is no longer fully compliant with modern cybersecurity requirements. Upgrading the authentication mechanism will align e-FOCI with cybersecurity requirements defined by the U.S. Department of Energy (DOE) and the National Institute of Standards and Technology (NIST).

2.2 What is OneID?

OneID is the Department of Energy Enterprise Identity and Access Management (IAM) solution and facilitates secure access of trusted users to DOE systems. OneID will act as a gateway that passes authenticated Login.gov and ID.me sessions to e-FOCI.

2.3 Login.gov

2.3.1 Creating a Login.gov Account

Visit [Create a Login.gov account](#). Login.gov asks users to provide the following: a state-issued identification card (ID), Social Security number (SSN), current address, and optionally a phone number to confirm home address. Additional identification materials may be requested.

2.3.2 Associating a Login.gov Account with your e-FOCI Account

You will need to associate the email address you currently use for e-FOCI with your Login.gov account. Instructions on associating your e-FOCI email address with Login.gov can be found [here](#). All logins for e-FOCI through Login.gov will require you to use your current e-FOCI email address, but it does not *need* to be the primary email address in Login.gov.

2.4 ID.me

2.4.1 What is ID.me?

[ID.me](#) is an American online identity network company that allows people to provide proof of their legal identity online. ID.me digital credentials can be used to access government services, healthcare logins, or discounts from retailers.

2.4.2 Creating an ID.me Account

Visit [Create an ID.me account](#). ID.me allows creation of an account with email address and password with additional options to harden the account using ID.me Authenticator app, passkey, text message/phone call, and others.

2.4.3 Associating an ID.me Account with your e-FOCI Account

The only email address sent by ID.me to e-FOCI will be the primary address associated with your ID.me account. You will only be able to use ID.me for login to e-FOCI if:

- your e-FOCI email (above) is your primary email address, *or*
- you submit an *email association request* in e-FOCI after the launch date.

Instructions for changing your email address in ID.me can be found [here](#).

2.5 PIV Card Login

If you possess a valid DOE Personal Identity Verification (PIV) Card, you may utilize your existing credential to login. No additional account setup is required unless the email address on your PIV does not match what is currently in e-FOCI. If this is the case, please follow the steps outlined [here](#).

3 Contractor Registration

After establishing an account with Login.gov or ID.me, registering this account with e-FOCI is the next step required of every user of the e-FOCI Submission Site. DOE/NNSA/Naval Reactors (NR) industrial security personnel will direct the offeror/bidder/contractor to the e-FOCI Submission Site to submit FOCI information. Preliminary data including contact information for the designated agent of the contracting company — typically the Facility Security Officer who is the e-FOCI Administrator for their company — is required.

3.1 Contractor Registration by Users without an e-FOCI Account

The process for registering a new organization by a user without an e-FOCI account is as follows:

1. Click the *Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. On the subsequent page, select the authentication provider — either ID.me, Login.gov, or the PIV Card option -- that corresponds to the account you established as outlined in Section 2 above.

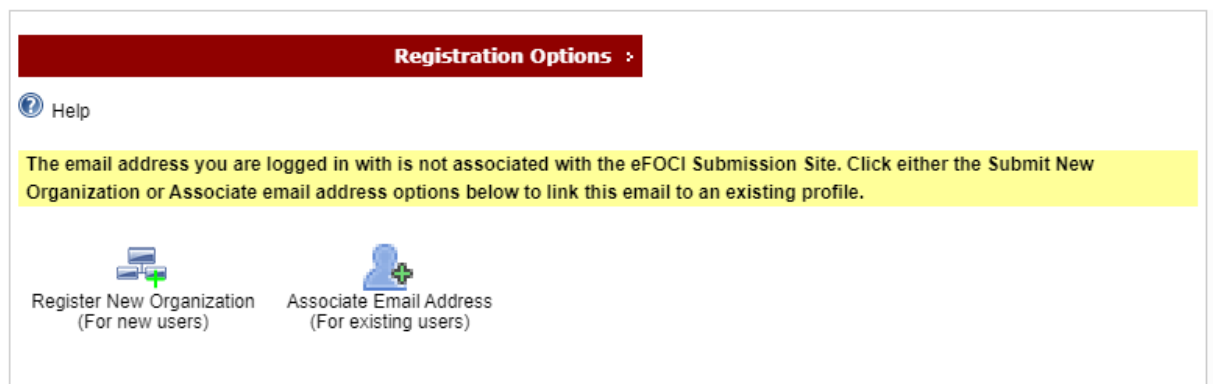
eFOCI Submission Site Login



The login interface is divided into two main sections. The top section, titled "Sign on with a Smart Card or Security Key", contains four buttons: "PIV Card" (with a PIV card icon), "DOE PIV-D" (with a PIV-D card icon), "OneKey" (with a key icon), and "CAC" (with a CAC card icon). The bottom section, titled "Sign on with another account", contains three buttons: "Sign in with ID.me" (with an ID.me logo), "LOGIN.GOV" (with a Login.gov logo), and "OMB Max" (with an OMB Max logo). Red boxes highlight the "PIV Card" and "OneKey" buttons in the top section, and the "Sign in with ID.me" and "LOGIN.GOV" buttons in the bottom section.

3. As a result of your successful login through your authentication provider, you will be logged in to e-FOCI and redirected to the following screen, which presents two options: register a new organization (for new users) and associating an email address (for existing users).

Account Registration



The "Account Registration" screen features a red header bar with the text "Registration Options >". Below the header is a "Help" link. A yellow message box states: "The email address you are logged in with is not associated with the eFOCI Submission Site. Click either the Submit New Organization or Associate email address options below to link this email to an existing profile." At the bottom, there are two options: "Register New Organization (For new users)" with a computer icon and a plus sign, and "Associate Email Address (For existing users)" with a person icon and a plus sign.

3.1.1 What is Login.gov?

Login.gov is a single sign-on solution for US government websites. You can use the same username and password to access any agency that partners with Login.gov. This streamlines your process and eliminates the need to remember multiple usernames and passwords.

3.1.2 Register New Organization (For new users)

Clicking the Register New Organization (for new users) icon displays the e-FOCI registration form. The top section

1. The top Personal Information section displays the primary email address associated with your Login.gov or ID.me account. It is recommended that you enter this same address in the Email Address field. The default values of your first and last name are provided by your authentication provider.

Personal Information >

Authenticated Email:	fso@company.com	
Email Address:	fso@company.com	
First Name:	Douglas	
Middle Name/Initial:	F.	
Last Name:	Johnson	
Business Phone Number:	888-888-8888	Ext.:
Job Title:	FSO	

2. Provide the required information for the organization in the e-FOCI Registration form. In the Field Office dropdown, select the office that will review your FOCI submission when it is completed. This office is also responsible for reviewing and processing your account request.

Select the FOCI Office that will review your FOCI Submission when it is completed >

Field Office:	Chicago Operations Office	▼
Reason For Request:	Justification for requesting access to e-FOCI is...	

3. When all required information has been entered, click the “Proceed to Enter Contract/Solicitation Number(s)” button.
4. Enter one or more Contract/Solicitation Numbers by entering a value in the form field and clicking either Add Contract or Add Solicitation.

Enter Solicitation/Contract Number(s) >

17-0029382	+ Add Contract	+ Add Solicitation
------------	----------------	--------------------

5. Click “Finalize Account Request” button.

Enter Solicitation/Contract Number(s) >

	+ Add Contract	+ Add Solicitation
Solicitation Number: RRTU-99883	⊖	
Contract Number: 17-0029382	⊖	
Finalize Account Request Clear		

Learn about the Department of Energy's [Vulnerability Disclosure Program](#)

6. Upon submission, personnel at the Field Office you selected are notified of your account request. Once your request is reviewed and approved, you will receive an email notification for accessing the e-FOCI Submission Site.

3.1.3 Associate Email Address (For existing users)

If you have created an ID.me or Login.gov account and chose not to utilize the procedures outlined in Section 2, you can submit an email association request via e-FOCI. Submitting an email association request will allow you to link your authenticated email from Login.gov or ID.me with your existing e-FOCI account.

- Select the Registered User login button and login to ID.me or Login.gov through OneID
- Select the Associate Email Address button
- Enter in the requested information. Pay special attention to the “Email” field which is used to tie your existing account to the specified authenticated email address.
- Select a DOE office to “Request Approval From” and click the “Request Email Association” button when finished.

Your FOCI Representative will be notified that the request has been made. Once the request has been approved, you will be able to login to e-FOCI with the requested email address. If you checked the “Make Primary” checkbox, all future email communications will also come to the new address.

Request Email Association

Important: this page is only for associating a new email address with an existing e-FOCI Submission Site account.

Linking Your ID.me or Login.gov Account with e-FOCI

It is important that we can properly link your existing e-FOCI account with your ID.me or Login.gov account. Each identity provider (ID.me and Login.gov) handles user accounts and email addresses differently. The email you logged in with using ID.me or Login.gov can be seen as the "Authenticated Email" listed below.

- **Linking Login.gov with e-FOCI:** You will need to associate the email address you currently use for e-FOCI with your Login.gov account. Instructions on associating your e-FOCI email address with Login.gov can be found [here](#). All logins for e-FOCI through Login.gov will require you to use your current e-FOCI email address, but it does not need to be the primary email address in Login.gov.
- **Linking ID.me with e-FOCI:** The only email address sent by ID.me to e-FOCI will be the primary address associated with your ID.me account. You will only be able to use ID.me for login to e-FOCI if your e-FOCI email is your primary email address or you submit an **email association request** in e-FOCI below. Instructions for changing your email address in ID.me can be found [here](#).

Request an Email Association in e-FOCI

If you do not wish to follow the instructions outlined above, you can associate the Authenticated Email shown below with the active e-FOCI account you already possess by entering the email address for your e-FOCI account in the Email field below and a brief justification as to why the email addresses differ. Click the Request Email Association button when finished. Your request will then be reviewed by a FOCI representative.

Authenticated Email:	katie nocchi@gmail.com	
User:	KATHLEEN HARRIS	
Domain:	OneID	
Level:	2	
Email:		
Business Phone Number:		Ext.:
Make Primary Email Address? (Note: by making this email your primary address, all email will be sent to this address.)	<input type="checkbox"/> Yes	
Change Justification:		
Request Approval From:		
<input type="button" value="Request Email Association"/> <input type="button" value="Cancel"/>		

3.2 Contractor Registration by Users with e-FOCI Accounts

Users having e-FOCI accounts register new contracting organizations by performing the following steps.

1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. On the Organization Selection page, click the “Add New Organization” icon



3. Provide the required registration information for the new contracting organization.
4. Click the “Proceed to Enter Contract/Solicitation Number(s)” button.
5. Enter one or more Contract/Solicitation Numbers.
6. Click “Finalize Account Request” button.
7. Upon submission, personnel at the Field Office you selected are notified of your account request. Once your request is reviewed and approved, you will receive an email notification indicating that the new contracting organization has been added to your account.

3.3 Rules of Behavior

The first time a user logs into the site, the Rules of Behavior form is presented and must be accepted to proceed. This form is presented whenever a user logs in to the system and it has been more than a year since the user last indicated their consent. The contents of the form are also available anytime via the Help menu.

4 User Accounts and Roles

Users of the e-FOCI Submission will possess one of two roles:

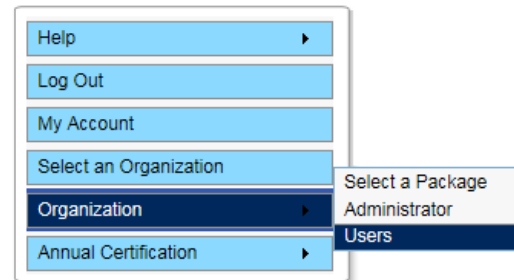
- e-FOCI Administrator
- Secondary User

Both user roles can create complete and submit FOCI submission packages, including accessing and modifying all submission forms. The e-FOCI Administrator alone, however, can manage e-FOCI user accounts for a facility.

They are also the facility's primary point of contact for e-mail correspondence generated by the system. There can only be one e-FOCI Administrator per facility.

4.1 Multiple Companies

Users can have an account for multiple companies. Each company to which a user has access will be displayed on the main page after logging in to the site. This same list can also be accessed via the **Select an Organization** menu option.



4.2 Create Secondary Account

Only the e-FOCI Administrator can manage user accounts for a facility. To create a secondary account, the administrator should perform the following steps.

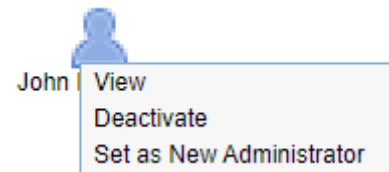
1. Click the *Registered User Login* button on the e-FOCI home page (<https://foci.anl.gov>)
2. On the Organization Selection page, click on an organization for which you are the FOCI Administrator
3. Click the Add New User icon



4. Input the user's name, phone number, title, and email address, then click Save.
5. An email is then sent to the new user confirming the creation of their e-FOCI account.
6. To access e-FOCI, the new user will be required to establish an account with Login.gov or ID.me if they haven't done so already.

4.3 Manage User Accounts

On the Manage Users page, the e-FOCI Administrator right clicks on the icon representing the user. A menu will display options: View, Deactivate, and Set as New Administrator.



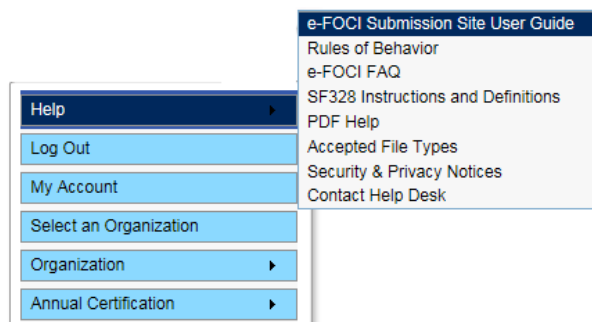
- **View** allows the e-FOCI Administrator to edit User Information.
- **Deactivate** renders the account inactive.
- **Set as New Administrator** transfers e-FOCI Administrator privileges to the user who was selected.


5 Submission Site Overview/Navigation

The site navigation menu is located at the top left side of each page and includes the following menu items: Help, Log Out, My Account, Select an Organization. After selecting an organization, the system presents the Organization. The Package menu item will only appear if there is an active Package in Progress.

5.1 Help

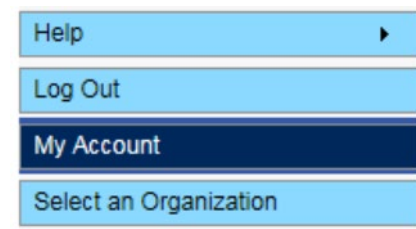
The Help menu item presents additional resources: e-FOCI Submission Site User Guide, Rules of Behavior, e-FOCI FAQ, SF328 Instructions and Definitions, PDF Help, Accepted File Types, Security & Privacy Notices and Contact Help Desk.



Help Icons  appear throughout the site. Detailed instructions and definitions are provided to users when the mouse is hovered over these icons.

5.2 Logging Out

Selecting **Log Out** ends the session.



5.3 My Account

When choosing **My Account**, the e-FOCI System redirects the user to the User Information page.

5.3.1 User Information

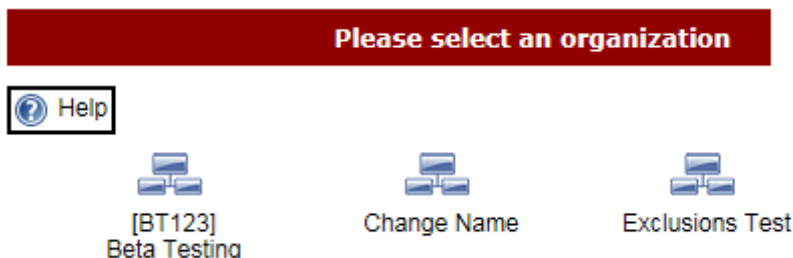
Personal contact information can be updated by selecting **My Account** from the static menu. Note that if you change your email address, after the update is saved, you will need to log out of the system and log back in using the new email address.

5.3.2 User ID

The e-mail address on record in the e-FOCI system is the User ID used to log into the system. This is the e-mail address entered at registration or by the e-FOCI Administrator when creating a new secondary user account.



6 Selecting an Organization

Clicking **Select an Organization** in the main menu displays an icon for each facility to which you have access. If a Facility Code has been entered for a facility by DOE/NNSA/NR personnel, it will be displayed above the company name. Clicking on an organization's icon displays the Organization Summary page for that facility, which allows access to submission packages and additional features for that facility, such as user management.



6.1 Organization Status

The system presents the following icons corresponding to the organization's status within e-FOCI:

Icon	Organization Status
No Icon	This indicates either the user is not authorized to access the company information, or the facility has been Terminated in the e-FOCI System.
 Demo Company	This standard icon indicates that FOCI submission information for this facility can be reviewed and/or edited.
 My Co	A lock on the icon indicates that DOE has taken one of the following actions: Archive or Discontinue. Contact your DOE FOCI Office to request that the facility account to be reactivated in the e-FOCI System. Access to the company information in the system is not accessible until DOE takes the action to reactivate.

7 Organization Summary Page

FOCI packages consist of one or more forms that are completed and then submitted to your submission office. In turn, these packages are then reviewed by federal industrial security personnel as part of establishing or maintaining a facility clearance for your organization.

7.1 FOCI Packages Page

The FOCI Packages page is accessed by clicking a company's icon in the Organizations page or, if a company has already been loaded, under Organization/Select a Package from the menu. This page contains one or two different sections, depending on information previously submitted.

Hart Industries International

FOCI Package Options

Package in Progress >



Help

To make changes to your existing forms, click the icon below.



Recertification
Submission Pending

Review Previous Determinations >



Help

Please note that forms and packages in this section are not editable. To modify existing forms, click the Recertification icon above.



Forms In Force



Recertification
Monday, January 21, 2002

- **Package in Progress**

If a package is currently “open”, the **Package In Progress** section will be displayed that contains an icon for the currently open package. Clicking the icon will load the package in the browser for review and/or modification. Do note that if a magnifying glass is part of the icon, the package has been submitted to DOE/NNSA/NR for review and cannot be edited at this time.

- **Create a New Package**

If no package is currently “open”, the **Create a New Package** section will be displayed that contains an icon for each type of package that can be created. *Unless you have been instructed otherwise by DOE/NNSA/NR industrial security personnel, always choose “Significant Changes” to submit updated information.* Clicking the icon will load the package in the browser for modification.

- **Review Previous Determinations**

The **Review Previous Determinations** section is displayed if there is a determination on at least one package for the facility, and displays an icon for each determination, as well as its determination date. The **Forms in Force** provides a complete list of the most recently updated documents from *approved* packages.

7.2 Package Types

There are four types of FOCI submission packages. While an Initial Package is required of each new contractor, each subsequent package simply requires updating previously submitted information.

- **Initial Package**
Initial Packages are required of all contractors and is the only type of package available to newly registered facilities. This package contains the full set of forms required for the facility's business structure.
- **Significant Changes**
Significant Changes packages are generally used by all contractors to report changes in their information after an Initial Package has been approved.
- **Annual Certification**
Annual Certification packages should only be completed by facilities covered under a mitigation agreement and instructed to do so by DOE/NNSA/NR industrial security personnel.
- **Recertification**
Recertification packages are only available to NNSA contractors and should only be completed if instructed to do so by NNSA industrial security personnel. Recertification packages are unavailable to NNSA contractors with the Branch/Division business structure.

7.3 Package Lifecycle

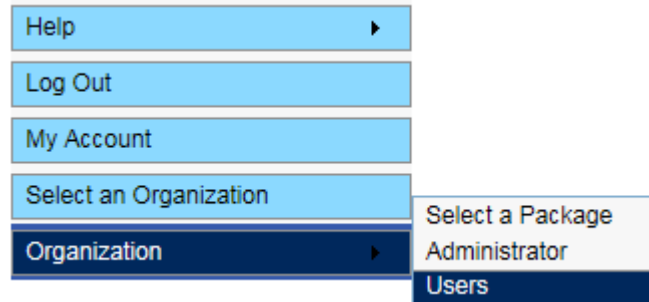
There are two main concepts governing the lifecycle of FOCI packages:

- **One "Open" Package at any given Time**
A facility may have at most one "open" package at any given time. A package is considered "open" if a determination has yet to be rendered on it. This means that even after a contractor submits a package to their federal industrial security representative, the package is still "open" until it has either been approved or denied. While it is still open, the package will be reviewed and may be returned to the contractor for additional modifications.
- **One Site has Control at any given Time**
A package can only be modified by one site at any given time. A contractor can modify the contents of the package via the Submission Site when first creating and working on a package, and if DOE/NNSA/NR industrial security personnel "unlocks" a package, returning it to the contractor for additional changes.

A package is in the control of the Processing Site when it has been submitted by the contractor, has not been unlocked and has not been determined. While the contents of the FOCI forms cannot be edited by Processing Site users, review, analysis, and routing to additional offices are routinely performed prior to a determination being rendered.

8 Organization Menu

The **Organization** menu is available when a company has been loaded into the browser by clicking on an icon in the Organizations page. It offers the following options: Select a Package, Administrator, and Users.



8.1 Select a Package

Choosing **Select a Package** redirects the user to the FOCI Packages page where one can access the current package, create a new package and/or access previous determinations for the facility.

8.2 Administrator

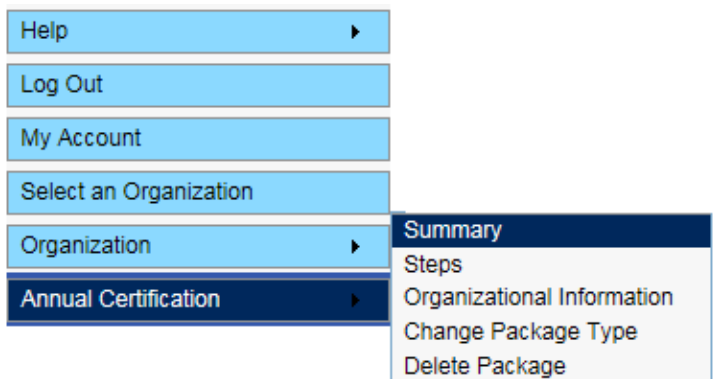
The **Administrator** menu option presents contact information for the designated e-FOCI Administrator for the facility.

8.3 Users

Through the Users link, the e-FOCI Administrator can view and manage all e-FOCI users for the facility. Secondary users can view only the user information for their own account.

9 Package Menu


The last menu item is presented once a specific submission package has been loaded into the browser. It has the name of the package type currently being viewed, and has the following submenu items: Summary, Steps (or Select a Form), Organizational Information, Change Package Type and Delete Package.



9.1 Package Summary Page

Selecting the **Summary** menu option redirects the user to the Package Summary page. The Package Summary page provides information on the following areas of the package selected: Package Type, Package Status, Facility Code and the Submission Office.

Significant Changes

Type	Status	Facility Code	Submission Office
Significant Changes	 Submission Pending		Argonne National Laboratory CSO (NNSA) <u>Douglas Johnson</u> (630) 252-6324

9.1.1 Package Type

DOE requires that all companies requesting new facility clearances submit an Initial Package as a baseline for the e-FOCI System. If a Determination was rendered on the Initial Package and there are changes to the original information that need to be reported, then DOE/NNSA/NR industrial security personnel may request that the organization create and submit a Significant Changes package containing the updated information.

9.1.2 Package Status

The status of a package that the contractor has not yet sent to the DOE Field Office for review is referred to as **Submission Pending**. Once the package is sent and DOE/NNSA/NR industrial security personnel begin analysis, the package is **Under Review**. If a determination has not been rendered and information needs to be updated, the e-FOCI Administrator or authorized user can request to Unlock the active package. DOE/NNSA/NR personnel have the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.

9.1.2.1 Request Unlock

If a package has been submitted to the Processing Site and a determination has not been rendered, any authorized user for a facility can make a request to Unlock the active package. DOE/NNSA FOCI Operations personnel have the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.



9.1.2.2 Request Reactivation

The e-FOCI Administrator can request that an archived package be reactivated. If the e-FOCI package for your organization has been archived, you can click on the **Request Reactivation** button and DOE will be notified that you have asked that the package be reactivated. If DOE approves reactivation, you will have access to the previously completed forms for your organization.



9.2 Steps (or Select a Form)

For Submission Pending and Unlocked packages, the Steps menu option redirects the user to the five steps home page for editing and submitting the package.

If a package is not editable via the Submission Site, **Select a Form** will be displayed and will redirect to a single page containing all of the forms within the package.

9.3 Organizational Information

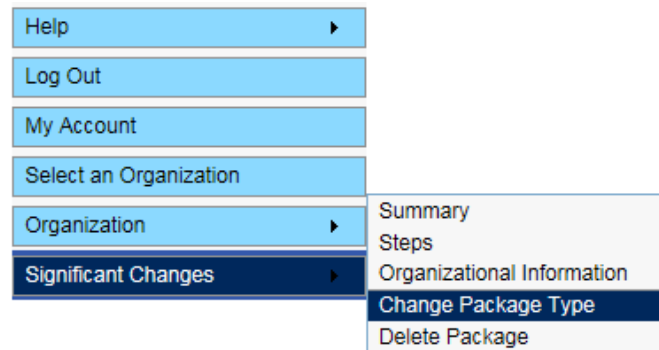
The Organizational Information menu option redirects the user to the Organizational Information page. General information about the organization, such as the business structure, addresses, and submission office, is found on this page. This information can be updated by any authorized user for the facility if the currently loaded package is editable. Note that the company name and address from this page are auto populated into several other forms throughout the system. Organizational Information changes may also be made under Step 1 by accessing the information contained within the Organizational Information pane.



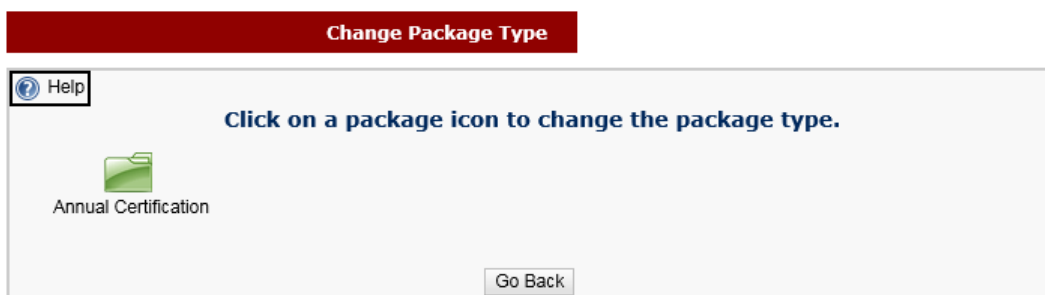
9.4 Change Package Type

For non-Initial Packages that are editable via the Submission Site, users can change the *type* of the package if needed. From the static menu, select Organization and then Change Package Type.

The resulting page displays the types of packages available to convert the existing package to. Click the package icon to change the package type. The system will present a warning message indicating that changing the package type may delete forms that have already been saved. Click **OK** to change the package type.

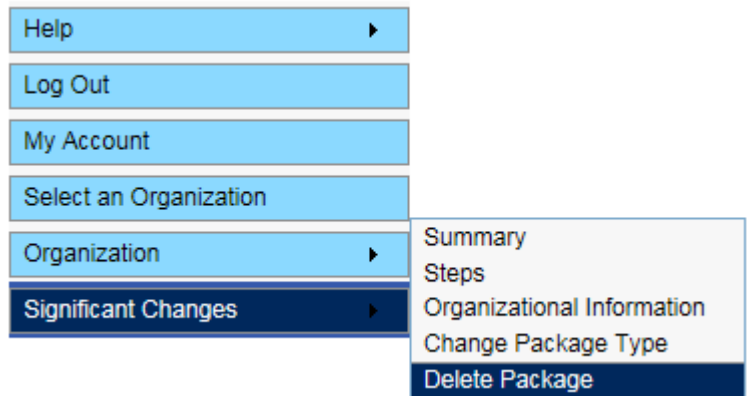


Significant Changes



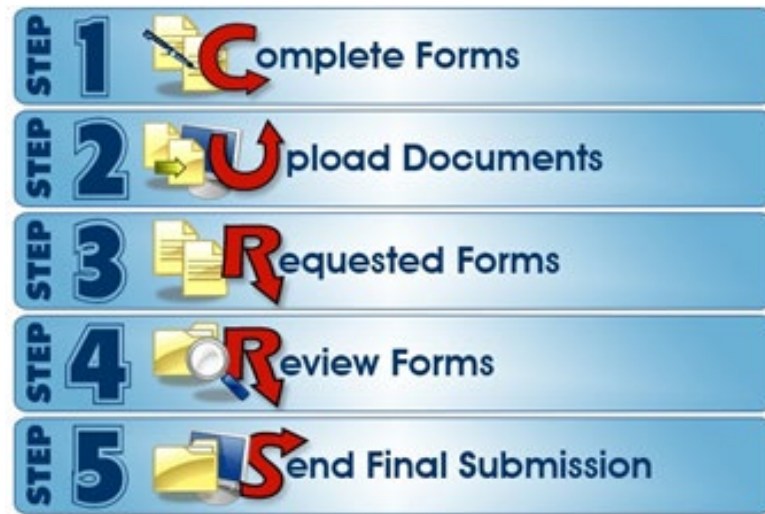
9.5 Delete Package

The Delete Package option is available for packages that have not yet been submitted. Users are authorized to delete packages that are not required to be processed or have been created in error. An Initial Package cannot be changed or deleted. If the package has been submitted to DOE, then the DOE FOCI Office is authorized to take the action to delete the package from the system. Deleting the package will have no effect on previous Determinations and will allow the creation of a new package.



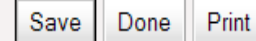
10 Steps to Submit a Package

The e-FOCI Submission Site provides Users with a five-step process for completing and submitting FOCI submission packages. The package consists of all of the forms and attachments required for a facility clearance submission. The user can navigate among the steps as needed and move in and out of the package as many times as needed before sending the final submission.



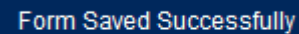
10.1.1 Saving Forms

Choose **Save** for the information to be updated in the system. Once saved, select **Done** to return to the accordion pane list of forms and/or uploads. Note that although the information has been saved, any user for the facility can return to update those forms at any time until the package is submitted to DOE/NNSA/NR industrial security personnel.

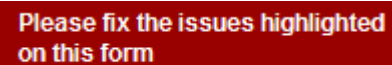
A set of three buttons: 'Save', 'Done', and 'Print', each in a light gray box with a thin border.

Save: Updates the e-FOCI records of your account with the information that was entered into the form. The system will verify acceptance of the form, or if additional information is required:

Form Saved Successfully Indicates the information is stored in the e-FOCI System.

A dark blue rectangular box with the text 'Form Saved Successfully' in white.

Please fix the issues highlighted on this form indicates that additional information is required or the format entered is not accepted by the system. The system will highlight the section that needs to be edited.

A red rectangular box with the text 'Please fix the issues highlighted on this form' in white.

Date Certified: The system provides the option for the user to select the date of certification for the following forms: Sf328 Certificate of Foreign Interests, the KMP, the Tier Parents List, and Exclusion Resolutions. A date box is provided when users click on the **Date Certified** text box on the forms.

Done: The user is redirected to the previous page to complete remaining forms.

Print: The system translates the electronic data into a PDF form that can be saved and printed.

10.2 Step 1: Complete Forms

A minimum of three forms are required in order to process an Initial Package in the e-FOCI System. Note that additional forms may be necessary depending on the contractor business structure and positive responses to questions on the Certificate Pertaining to Foreign Interests (SF328) form.

The icon on the right-hand side of an accordion pane indicates the status of the form. The system will not allow packages containing forms with an incomplete status to be submitted.

Required Forms List >

Required Forms List >		
Organizational Information		+
Certificate Pertaining to Foreign Interests (sf328)	Upload Required !	+
Certificate Pertaining to Foreign Interests Attachment 5	Complete ✓	+
Summary Data Sheet	Complete ✓	+
Key Management Personnel List (KMP)	Complete ✓	+
Tier Parents List	Not Applicable ⛔	+
Exclusion Resolution for LLC Member	Incomplete !	+

For forms that do not apply to the organization, click the available check boxes within a form's accordion pane, as noted in the diagram below. This changes a form's status to "Not Applicable".

The screenshot shows a web interface for the 'Tier Parents List' form. At the top, the title 'Tier Parents List' is on the left and 'Incomplete' with a yellow warning icon is on the right. Below the title bar, there is a document icon labeled 'Tier Parents List' on the left. In the center, there is a checkbox with a blue question mark icon to its left. To the right of the checkbox is the text 'Check this box if Tier Parents List Form does not apply to this organization'. A red arrow points upwards to the checkbox.

10.2.1 Forms Required for Initial Packages

- Summary Data Sheet
- Key Management Personnel
- Certificate Pertaining to Foreign Interests (SF328); and if applicable all attachments corresponding to "yes" responses to questions on the SF328. (Note: The SF328 form is not required for Branch/Divisions or organizations that are operating under a consolidated SF328.)

10.2.2 Summary Data Sheet

The Summary Data Sheet requires responses to questions **#5 (State or other jurisdiction of incorporation or organization)** and **#6 (Date of incorporation or organization)**. If either of those fields incomplete, the system will not allow the form to be saved. Note that several of the fields in the Summary Data Sheet are auto populated from entries in the Organizational Information section.

10.2.3 Key Management Personnel List (KMP)

The Key Management Personnel List (KMP) is required for all facilities. Each Individual or Organization entry is called a record. Note that the several fields in the KMP record are intentionally greyed out for Excluded members.

CUI//SP_PRVCY (WHEN COMPLETED)
Key Management Personnel (KMP)

Note: The FSO, SMO, and ITPSO roles must be specified in order for the KMP list to be complete.

 [Instructions](#)

Individual's Complete Name	All Company Titles/Positions Held	Is FSO ? Help	Is SMO ? Help	Is ITPSO ? Help	% of Owner-ship	Date/Place of Birth/ Citizenship (US, Other, Dual)	Social Security Number	Security Clearance Level(s)*	Modify Action	
John A. Meyer	FSO	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.5	01/12/1954 / New York, New York, United States / United States			<input type="button" value="Edit"/>	<input type="button" value="Delete"/>
My Company	Tier Parent				95	Albany, New York, United States			<input type="button" value="Edit"/>	<input type="button" value="Delete"/>

* Individual's Security Clearance Level(s), Issuing U.S. Government Agency(ies) or Exclusion and Date

Date Completed: 08/21/2024 ▼

CUI//SP_PRVCY (WHEN COMPLETED)

The options presented for the KMP form are as follows:

Edit: Allows the user to update the record.

Delete: Removes the record from the KMP list.

Is FSO: The system presents a checkbox option to identify one individual as the Facility Security Officer (FSO). If a person's title is also Facility Security Officer that must be entered in that individual's Edit screen.

Is SMO: The system presents a checkbox option to identify one individual as the Senior Management Official (SMO), who is the official responsible for the entity policy and strategy. The SMO is an entity employee occupying a position in the entity with ultimate authority over the facility's operations and the authority to direct actions necessary for the safeguarding of classified information in the facility. This includes the authority to direct actions necessary to safeguard classified information when the access to classified information by the facility's employees is solely at other contractor facilities or USG locations. If a person's title is also Senior Management Official that must be entered in that individual's Edit screen.

Is ITPSO: The system presents a checkbox option to identify one individual as the Insider Threat Program Senior Official (ITPSO), the official responsible for establishing and/or executing an insider threat program. If a person's title is also Insider Threat Program Senior Official that must be entered in that individual's Edit screen.

Add Individual: Provide information for each person who directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or who has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment.

Add Organization: Provide information for each legal entity which directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or which has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment.

Add Vacancy: This option allows the organization to document vacant positions in the Key Management Personnel List.

Click when Done: Once entering and saving the KMP information is finished; the system redirects the user to Step 1 to complete remaining forms.

Print Saved Form: The system translates the electronic data into a PDF form that can be saved and printed.

10.2.4 Certificate Pertaining to Foreign Interests (SF328)

There are two parts required to complete the SF328, the e-form and the uploaded document. The user must print the completed form, have it signed and, if necessary, sealed, then scanned and finally uploaded back into the system using the Upload icon.

Certificate Pertaining to Foreign Interests (sf328) Upload Required !

Help

Certificate Pertaining to Foreign Interests (sf328) e-Form

Upload Signed and Sealed Certificate Pertaining to Foreign Interests (sf328) Document

☐ Check this box if your organization is a branch/division or your tier parent is submitting a consolidated SF328 (checking this box will delete the SF328 and its attachments from this package)

10.2.4.1 SF328 e-Form

The SF328 e-form contains a 10-question questionnaire, Certification and Certificate sections. Additional instructions and definitions for completion of the Certificate Pertaining to Foreign Interest (SF328) can be found under the Help menu. The system will also require an additional e-form corresponding to each **YES** response on the SF328 e-form.

Certificate Pertaining to Foreign Interests (sf328)	Complete
Certificate Pertaining to Foreign Interests Attachment 1a	Incomplete

Certificate Pertaining to Foreign Interests Attachment 1a e-Form

The **Date Certified** and **Authorized Contractor Representative** are required fields in the **Certification** section of the form. If left empty, the system will highlight the field(s) and present a toaster message stating *Please fix the issues highlighted on this form*. The **Certificate** portion of the form is only required to be filled out by corporations.

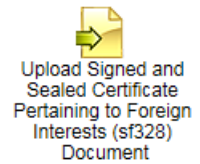
12/15/2015

(Date Certified)

(Authorized Contractor Representative)

10.2.4.2 SF328 Document Upload

After filling out and saving the e-form, use the Print button to generate a hard copy of the form. This printed document must be signed; for corporations, a corporate seal is also required. The file must then be scanned and uploaded using the icon labeled **Upload Signed and Sealed Certificate Pertaining to Foreign Interest (sf328) Document**. The form status will display as **Complete** after the SF328 e-form has been saved and scanned document has been uploaded.



Certificate Pertaining to Foreign Interests (sf328)		Complete
Help	<p>Certificate Pertaining to Foreign Interests (sf328) e-Form</p>	<p>sf328 upload.pdf (7482 bytes) Wednesday, December 9, 2015</p>
	<input type="checkbox"/> Check this box if your organization is a branch/division or your tier parent is submitting a consolidated SF328 (checking this box will delete the SF328 and its attachments from this package)	

10.3 Step 2: Upload Documents

Accordion panes for uploading corporate documents and other files are displayed in Step 2. The corporate documents presented are dependent on the business structure of the organization, and may include Articles of Incorporation, Bylaws, Meeting Minutes, agreements, and other forms. Clicking the "Upload New..." icon within an accordion pane directs the user to the Upload Document page. Click "Browse..." to locate the file on your computer to upload. Select the file once it is found and click the Upload button. The uploaded document will be added to the current package.

Select a file to upload* >

Meeting Minutes (PDF or Word):
(Unclassified only)

example.pdf



Describe the file >

Description

Press the "Upload" button to complete the process >

* Uploaded files may not exceed 5.0 megabytes

While a package is editable, two additional smaller icons are displayed next to the icon for uploaded documents. Clicking the minus sign icon allows the user to delete the file. Clicking the arrow allows the user to replace the existing file with a newer version.


PDF Upload.pdf (7593 bytes)
Tuesday, May 24, 2016

10.4 Step 3: Requested Forms

Step 3 will be empty when first working on a package. If DOE/NNSA/NR industrial security personnel request that additional forms be completed, such as Exclusions, these forms will be presented under Step 3.

Initial Package

 **STEP 3 Requested Forms**

Forms Requested by the Reviewer

No additional forms are requested at this time.

10.5 Step 4: Review Forms

Step 4 shows the status of all forms within the package. The left tab lists all incomplete forms, while the right tab shows all forms that have been completed. Links to all forms are available to review and verify the information submitted. All forms must be completed before the submission can be sent to the submission office on Step 5.

STEP 4 Review Forms

 Help

Significant Changes Questionnaire Attachment 10	Incomplete !	<input data-bbox="1307 1617 1331 1648" type="button" value="+"/>
Representative of Foreign Interest (RFI) Statements List	Incomplete !	<input data-bbox="1307 1654 1331 1686" type="button" value="+"/>
Shareholders Form	Incomplete !	<input data-bbox="1307 1692 1331 1724" type="button" value="+"/>
Certificate of Incorporation	Incomplete !	<input data-bbox="1307 1730 1331 1761" type="button" value="+"/>
Shareholders Agreement	Incomplete !	<input data-bbox="1307 1768 1331 1799" type="button" value="+"/>

10.6 Step 5: Send Final Submission

In order to send your FOCI submission package to the submission office for review, go to Step 5 and click the **Send Final Submission** button. Remember to mail the signed and sealed hard copy Certificate Pertaining to Foreign Interest (SF328) form to your submission office. The address will be provided upon package submission.

NOTE: Once the *Send Final Submission* button has been clicked, the package is sent to the submission office and is locked. The contractor will be able to view/print the forms that have been submitted. However, it is not possible to edit the information unless the submission office unlocks the package.

STEP 5 **Send Final Submission**

Help

Warning!

Clicking on the "Send Final Submission" button will send this package to the submission office for processing. Please review all forms for accuracy and completion before sending the final submission. You will not be able to edit this information once it is submitted. After final submission DOE will be notified and the facility clearance review process will begin.

Compose E-mail Message to Representative (optional) ➤

Send Final Submission

11 e-FOCI Help Desk

The e-FOCI Help Desk at Argonne National Laboratory in Argonne, Illinois is staffed Monday-Friday from 8:30AM to 5:00PM (CST) and can be reached at (630) 252-6566 or via e-mail at fociserver@anl.gov

Thank you for using the e-FOCI Submission Site!